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for the programmes and subprogrammes
of the plan of action

DRAFT FORMAT OF THE GLOBAL PLAN OF ACTION: REPORT OF THE SECRETARY-GENERAL OF THE CONFERENCE

Report of the Secretary-General

SUMMARY

1. In response to a directive from the Preparatory Committee at its organizational session, this report sets out a draft format for the Global Plan of Action. In doing so, it was necessary to explore the Plan's programmatic content. In addition to a suggested table of contents, a programme format, based on that used for Agenda 21 and to be applied to human settlements programmes and subprogrammes at all levels, is proposed. Substantively, a priority listing of five cross-sectoral programmes is recommended. Once this has been agreed, then sectoral and subsectoral support programmes can be detailed.

2. The first item the Preparatory Committee may wish to address is the set of underlying assumptions and their implications. After review of this report and its assumptions and after review of the related draft statement of Principles and Commitments, the Preparatory Committee may wish to consider the appropriateness of the proposed format and content.

3. With regard to the proposed programme and subprogramme format, is the concept of feedback for subprogramme development and modification well-understood and universally acceptable?

4. Once the format and content is approved, should it be circulated to countries to assist in formulating country reports and national plans of action?

5. Because the detailed draft of the Global Plan of Action will be presented to the Preparatory Committee at its second substantive session, the Preparatory Committee may wish to address the process and time-frame for the secretariat to draft detailed programmes, according to the approved format.

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I. PREAMBLE

A. The Mandate

1. In its resolution 47/180 of 22 December 1992, General Assembly set out the objectives of the Conference:

(a) In the long term, to arrest the deterioration of global human settlements conditions and ultimately create the conditions for achieving improvements in the living environment of all people on a sustainable basis, with special attention to the needs and contributions of women and vulnerable social groups whose quality of life and participation in development have been hampered by exclusion and inequality, affecting the poor in general;

(b) To adopt a general statement of principles and commitments and formulate a related global plan of action capable of guiding national and international efforts through the first two decades of the next century.

2. In the same resolution, the General Assembly states that the global plan of action should include:

(a) A comprehensive set of programmes and subprogrammes, with realistic targets and timetables, and provision for monitoring and evaluation of performance;

(b) Guidelines for national settlement policies and strategies that could effectively contribute to the alleviation of urban and rural poverty and the promotion of a sustainable economic development process with due consideration given to the growth and distribution of population, the urban transition, natural disasters, the availability of land and other resources and the interests of women and major groups;

(c) Programmes and subprogrammes relating to new and emerging issues of technologies, including the impact of the current communication and informatics revolution, energy, transport and environmental infrastructure, namely, water-supply, sanitation and waste management;

(d) Programmes and subprogrammes that would carry forward relevant elements of Agenda 21 to promote the development of environmentally sustainable human settlements in the future;

(e) Proposals for mobilizing, nationally and internally, the necessary human, financial and technical resources, taking into account the enabling concept and the commitments of new and additional resources, as well as funding from countries' own public and private sectors, for the implementation of Agenda 21 programmes;

(f) Measures for the reorganization and strengthening of national, metropolitan and municipal institutions and machinery to enhance the development of human settlements and operations capabilities;

(g) Recommendations on ways in which the role of the United Nations and existing institutional arrangements for international cooperation and coordination in human settlements can be strengthened.

B. Assumptions and implications

(i) **Subsectors are the product of traditional administrative requirements and must be transcended, programmatically, in order to provide an efficient and equitable response to human need.**
Implications: Programmes must be designed to address, holistically, priority needs of communities through the integration of the traditional sectors.

(ii) **Urban issues are primarily local to national in nature.**
Implications: The Global Plan of Action must be designed to strengthen the dialogue between national and local/community interests. International activities are to be supportive and demand driven.

(iii) **Effective management of cities depends upon the national administrative, judicial, and legislative context for its parameters.**
Implications: A sound programme addressing urban management must also address governance and public administration at all levels (national, provincial, metropolitan, local).

(iv) **Participation may be implemented in different ways for major groups, NGOs, community groups, private sector, and individuals.**
Implications: Participation should be treated as a procedural component, or modus operandi, *of all programmes (as is the application of appropriate technology) not as a separate programme.*

(v) **Urban development interacts with rural development and with the geographically wider environment/ecology.**
Implications: Mechanisms for wider geographic development must be supported in order to create sustainable rural-urban linkages.

(vi) **The two proposed themes of *urbanization* and *shelter* are hierarchical, but must be treated more or less equally.**
Implication: Shelter will receive special treatment during Habitat II (equal in time and attention to urbanization) exemplifying how subsectoral programmes have succeeded or failed and what further actions are required.

(vii) **The time horizon is approximately 25 years, over which period conditions and priorities will undoubtedly shift and vary from country to country.**
Implication: The processes for addressing the issues are as important as the issues and must encompass a nearly real-time assessment of conditions with appropriate feedback for programmatic adjustments.

(viii) **Habitat II is a United Nations Conference.**
Implication: It will call for an inclusive (rather than exclusive) set of cross-sectoral programmes to satisfy all stakeholders in both developing and developed countries.

II. THE (DRAFT) FORMAT FOR THE GLOBAL PLAN OF ACTION

A. Contents of the Human Settlements Global Plan of Action

Section I. Human settlements trends and issues

This section will provide the basis of evidence that actions being called for in the plan are both of urgent priority and have a high probability of being effective.

Section II. Principles and guidelines for action

This section will provide the universally agreed upon goals and objectives for international, national and local human settlements programme formulation and implementation.

Section III. Cross-sectoral programmes

This section will provide the details of cross-sectoral programmes that have been adopted by the conference. In the text of this report, five such programmes are recommended. Each will follow a format for programme development proposed in the next section of this report.

Section IV. Sectoral subprogrammes

Sectoral subprogrammes, conforming to modern administrative classifications, are not addressed here but may be worked out in subsequent stages in the formulation of the Global Plan of Action.

Section V. Support subprogrammes

Support subprogrammes, such as the development of appropriate technologies and the formuation and application of urban indicators, are not addressed in detail here but may be worked out in subsequent stages in the formulation of the Global Plan of Action.

Section VI. Responsibilities and commitments

Because these are dependent upon the content of the adopted Global Plan of Action and must be formulated with an awareness of available resources, a proposed draft must wait until these factors are more firmly identified.

Section VII. Coordination and timing

Because coordination and timing of activities are dependent upon the content of the Global Plan of Action, a proposed draft must wait until the plan is reasonably firm and resources and responsibilities can be identified.

Section VIII Monitoring and evaluation

There will be a need to monitor programme effectiveness over time, in order to make mid-course corrections in the programes detailed in the Global Plan of Action and to determine the effectiveness of resources being applied in its implementation.

B. Format for programmes and subprogrammes

3. To facilitate a bottom-up (local to global) construction of the Global Plan of Action, it is strongly recommended that the following format be applied to all programmes at all levels of action planning -- global, national, and local. This format is modelled after a rational and cybernetic process incorporating evaluation and feedback for periodic programme adjustment.

(a) Title

A word or brief phrase, without prepositional auxiliaries, descriptive of the subject of the programme.

(b) Background

This section will address the current issues, policies, and trends in all subsectors related to the substance of the programme.

(c) Constraints and opportunities

Identification of special social, economic, environmental and administrative conditions which will provide direction for fruitful action and potential limits to such action.

(d) Goals and objectives

A single statement of the desirable end-state to be achieved plus a short list of substantive targets and procedural guidelines providing direction for policy and strategy formulation and implementation.

(e) Activities and options

Sequentially and/or concurrently integrated tasks or subprogammes and alternatives proposed to attain each of the objectives.

(f) Implementation

(i) Assessment of available resources

The present and projected scientific, methodological, human, financial, and time resources available to apply to the proposed activities.

(ii) Science and technology applications

Recommended hard (physical) and soft (methodological) technologies that may currently exist or which may be adapted or developed to implement programmatic strategies.

(iii) Human-resources development

Training needs and proposed activities required for individual and institutional development.

(iv) Institutional capacity building

The legal, administrative, and organizational adjustments that are recommended to enhance programme effectiveness.

(v) Participation and the enabling approach

How major groups will be enlisted and how and to what extent public

participation will be supported.

(vi) Cost evaluation and financing

Estimates of costs for each activity and option, to varying degrees of objective attainment, and proposed mechanisms for mobilising and allocating the required funds.

(vii) Time frame for action
A critical path schedule linking proposed activities.

(g) Responsibilities

Which agencies, organisations, and individuals will have key roles to play in formulating programmatic details and in taking decisions on implementation.

(h) Monitoring and evaluation

How and by whom progress toward goals and objectives will be measured and assessed on a periodic basis and how that information will be used to make programmatic adjustments.

C. Proposed Programmes

4. Recent experience in technical cooperation leads to the inescapable conclusion that the most urgent human settlements issues must be addressed in a holistic or multisectoral manner. This does not negate the need for sectoral programmes. Sectors are the traditional administrative components of large organizations and are convenient management structures. Nonetheless, as governments act on the concept of the enabling approach, creating more participatory mechanisms, they are finding that individuals, families, and communities do not necessarily approach their environments sectorally. People want to be involved in the decision-making that results in trade-offs among sectors. Programmes for human settlements development, therefore, must be designed to cut across sectors. Conventional sectoral programmes may be viewed as sub-programmes within these broad programmes, addressing the need to strengthen and reorient the constituent elements of each programme.

5. Additionally, there are activities that will serve to support many or all programmes and subprogrammes and may be included in the plan as support subprogrammes that will develop, test, and disseminate the tools needed by the substantive programmes.

6. In the first instance, however, is is imperative to agree on theframework of priority cross-sectoral programmes.

1. Cross-sectoral programmes

7. The following programmes are multisectoral-sectoral, even though such titles as housing and environmental management may connote traditional sectors. A major barrier in the past to overcoming recognised problems in some sectors has, in fact, been the narrow approach that is imposed by sectoral administrative divisions for such subjects as environment and housing.

Programme 1: Governance

8. Goal: To institutionalize efficient, responsive, open, and accountable systems for human settlements management.

9. Discussion: An important element of good governance is that expressed through decentralization and community participation -- bringing decision-making closer to local communities. Decentralization largely amounts to establishing the role of local government in settlements management, which includes, *inter alia*, the delivery of basic infrastructure, provision of basic social services, and management (in the public interest) of land use and environment, including the development of a responsive regulatory framework therefore.

10. This raises issues of mobilizing adequate resources for an effective discharge of such responsibilities and placing these at the disposal of local government. It further raises the issue of decision-making practices at the local level, including the participation of communities and of major groups of stakeholders in policy formulation. In addition, central government roles and responsibilities need to be re-defined to avoid duplication of effort and to establish a functional hierarchy, where central government has primarily a guidance and support role.

11. Activities or subprogrammes which should in many ways be integrated may address, *inter alia*, strengthening of local management processes and enhancement of related human resources through: (a) the use of indicators for performance evaluation and for conditions monitoring; (b) public involvement in goals-identification exercises and subsequent decision-making; (c) formulation of integrated strategies for investment and regulation; (d) life-cycle costing of infrastructure investments; (e) social and environmental impact evaluations of prospective investments; (f) strengthening of the legal and regulatory frameworks; (f) development of planning, programming and budgeting systems; (g) improvement in the operation and management of infrastructure systems; (h) involving the private sector in the delivery of public services; (i) reduction of corruption; (j) providing policy guidance, intergovernmental coordination, and support for institutional development through central and provincial mechanisms; (k) raising awareness of issues and needs among public officials; (l) development of two-way communication techniques involving communities and local government; (m) including underrepresented groups in planning and management processes; (n) revenue enhancement; (o) more effective central-local government financial relationships; (p) capacity-building and training; and (q) community action planning.

Programme 2: Poverty reduction

12. Goal: To improve the social, economic, and environmental conditions for the most structurally impoverished individuals, families, and communities.

13. Discussion: The complexity of poverty, and the heterogeneity of most national cultures, make it difficult to define a global strategy for poverty reduction. This is especially true if the objective is to approach the problem integrally and not just through small-scale projects. Poverty reduction programmes should be country-specific, city-specific, community-specific, and tailored to the specific needs of impoverished households. The common characteristics of poverty, however - unemployment and underemployment, lack of adequate shelter and basic infrastructure, and, in particular, the prominent role of the informal sector in providing employment - make it possible to identify key areas of intervention and to suggest guidelines for support strategies.

14. Recent international agency experiences suggest that: (a) strategies for urban poverty reduction and employment generation must be demand driven and need to be based on a participatory approach; (b) strategies need to address the priorities of the poor, who usually put employment and food before shelter and services; (c) an effective strategy is to assist the poor find employment opportunities through the removal of regulatory barriers to low-income employment opportunities, both at national and local governmental levels, and through labour-intensive shelter and services provision; (d) a number of conventional public-sector functions need to be transferred to the responsibility of communities and micro-enterprises; (e) community-based credit systems should be encouraged and linked to the formal financial sector; (f) promotion of low-cost construction technologies and building materials should be targeted to the needs and expectations of the poor; (g) the development of a rental sector can help in housing the poor and reducing shelter shortages; (h) housing and services need higher public sector recognition as productive investments.

15. The problems of poverty, unemployment, and lack of adequate shelter and services are interrelated and should, therefore, be linked through an integrated strategy. A focus on labour-intensive shelter and infrastructure programmes and reform of regulatory frameworks will increase labour opportunities, improve urban productivity, and thus alleviate poverty and increase equity. An integrated programme therefore might include subprogrammes for: (a) employment-intensive and community-based shelter provision and improvement; (b) small-scale building materials production; (c) employment-intensive provision and maintenance of infrastructure; (d) community credit and home-based enterprise; and (e) audits of regulatory systems; and (f) strengthening of community-based action planning.

Programme 3: Environmental management

16. Goals: to develop and manage the infrastructure systems needed to provide basic hygienic conditions in human settlements and to manage human settlements activities in order to minimise the long-term adverse impact on the environment.

17. Discussion: There are two dimensions to the programmatic goals for environmental management: human health and ecological health. The first translates into a set of subprogrammes for water, sanitation, drainage and flood protection, solid waste, and hazardous waste systems development and management. This is intimately related to government (and governance) which is the traditional vehicle for the provision of environmental infrastructure

systems. The ability to integrate infrastructure development with operations budgeting and revenue generation, setting priorities for resource allocation in the public interest is one goal of good governance. Infrastructure installation/rehabilitation and solid waste reuse and recycling can also involve the private sector providing for local income-generation, which illustrates the link between environmental infrastructure and community development (and therefore, the necessity to encourage and foster both community participation and private sector involvement).

18. The second dimension is expressed in a variety of environmental programmes that are found in Agenda 21 and are, therefore, part of the human settlements agenda. Of critical importance is the establishment of systems of health indicators, to measure environmental infrastructure systems performance, and the establishment of system to monitor and measure ecological health within settlements and across their wider impact areas. Activities related to environmental management and sustainable development include: water resources assessment and protection; outdoor air pollution reduction; indoor air pollution reduction; prime agricultural land and forest management; coastal, marine areas, and wetlands management; mountain and fragile areas management; conservation of biological diversity; conservation of cultural monuments and areas; urban design; technology substitution; environmental rehabilitation; promotion of alternative livelihood; environmental awareness raising and education; research; integration of economic and environmental accounting systems; strengthening of legal and regulatory frameworks; and the application of market incentives. A major objective in the provision of the above-mentioned environmental infrastructure should be ecologically sustainability.

19. In some cases it may be considered appropriate to initiate or strengthen individual activities from the above array as stand-alone programmes. Some have already been established as national and even global programmes (e.g., coastal zone management); others are being explored as instruments to serve the purposes of a number of these programmes (e.g., application of market incentives). Effectiveness and efficiency in the use of global and national resources could be enhanced by differentiating between the area management activities and support activities which, like community action planning processes, could be applied in service to multiple programmes. In other words, an environmental management programme, as proposed here, could provide common ground for various area management programmes through support for, and coordination of, support activities. It may also make sense to integrate area environmental management programmes with national and subnational economic development planning to help decision-makers identify both the environmental constraints and opportunities for development.

Programme 4: Shelter

20. Goal: to provide adequate shelter for all.

21. Discussion: The interrelationships and even overlap between programmes becomes clear when comparing Programme 2, Poverty reduction, with Programme 3, Shelter. However, poverty reduction subprogrammes and activities associated with housing, infrastructure, building

materials, and related employment-generating opportunities offer only a partial, albeit important, picture of the needs of the shelter subsector. A more comprehensive shelter programme must also address additional issues, some of which are mentioned, below.

22. A comprehensive shelter programme should be able to measure conditions and performance within the subsector through the formulation and application of shelter indicators, providing input to shelter policy and housing strategy formulation.

23. A variety of finance mechanisms may be developed and institutionalized for access by the broadest possible spectrum of individuals and families.

24. Barriers to access to shelter imposed through the existing legal and regulatory systems need to be assessed and modified. The most ubiquitous barriers to the provision of adequate shelter are lack of access to land, lack of secure tenure, and lack of access to credit. These barriers are variously manifested in different countries and in different cities within countries and must be thoroughly understood for their economic and social implications before changes can prudently be proposed.

25. Any programme designed to link policy to action must also strengthen the links between the policy-making level and the operational levels of government and between government and the private sector. One way of achieving this is through sponsorship of community-based housing demonstrations, where successful experiences can be translated into policies and programmes.

26. Another area of continuing need is the development of construction technology and support for the housing-construction industry. This is one more constributions that may be in the domain of the private sector. Among others are credit/financing and provision of basic services.

27. Finally, the need for adequate shelter encompasses also the need for basic environmental infrastructure, primary health care and other social services, and the means for generating a livelihood. As in the poverty reduction programme, integrated attention to these interrelated components of a shelter programme and the local mobilization of human resources may best be accomplished through community action planning. Through such a support programme, assistance may be provided to help form cooperative communities, to facilitate community assessments and priorities setting, to help integrate community priorities and settlement-wide priorities, to formulate and implement community-based financing mechanisms, and to help create opportunities in the private sector for livelihood and sustainable income generation.

Programme 5: Disaster mitigation, relief and reconstruction

28. Goals: to reduce risk from natural and other disasters (including war) and to minimize time and cost of recovery after disasters.

29. Discussion: Human settlements as concentrated nodes of population are highly vulnerable

to both natural and other disasters. Disasters are defined, in fact, by their impacts upon human life and property, which occur mostly in settlements. During wars, which most often have as their objective the subjugation of population and control of the means of production, settlements and their residents become targets. As the world becomes urbanized, settlements are increasingly vulnerable to such disasters as war, earthquakes, floods, typhoons, and landslides and are increasingly vulnerable to such "self-inflicted" disasters as chemical spills, fires, and transport accidents.

30. As they urbanize, developing countries are becoming more vulnerable than developed countries. They lack resources and institutions to mitigate disasters through better construction, rational land-use planning, and strict and impartial enforcement of regulations. Where poverty is extensive, armed aggression is seen as one way to redistribute limited resources or to reduce the competition for them. Settlements are therefore targets of convenience. The United Nations system's response to the exacerbation of the effects of disaster in an urbanizing world has been termed the "relief to development continuum" and is a coordinated effort to respond to the needs of populations displaced by disasters.

31. As displaced populations are accommodated in temporary settlements, they have similar needs to populations in permanent settlements. But those needs are often not met because of the lack of income-generating capacity, lack of resources, lack of community structure, and other factors more prevalent in permanent communities. There is, therefore, a need for a programme that provides, on an emergency basis, not just damage assessment and subsequent shelter and services, but also assists in rebuilding the capacity of the community to function normally and eventually to reconstitute itself permanently. Management capacity and income-generating opportunities must be reinstalled at the same time this reconstruction planning is occurring, not waiting for the establishment of more permanent settlements.

32. There is also a great need for anticipatory measures to mitigate the effects of disaster. This requires programmatic attention to the identification of potential hazards, their location and extent, and magnitude; the analysis of structural vulnerability which places population, lifeline systems, and property at risk; and risk reduction programmes which require trade-offs between current demands and future probabilities. Such probabilities usually count for little in the political process of the present until they are demonstrated through the occurrence of some disaster. At that point political awareness is greatest and programmes for disaster mitigation can have their highest impact.

2. Sectoral subprogrammes

33. Each of the above programmes will be comprised of a number of subprogrammes which will be identified more clearly in the development o fthe Global Plan of Action, after endorsement by the Preparatory Committee of the broad programme categories. Subprogrammes are likely to be identified along lines of conventional sectoral activities, such as transportation, social service delivery, industrial and commercial development, and along the lines of cross-cutting subcomponents such as finance, institutional development, regulation, and technology

applications. In this regard, it should be noted that the characteristic of being comprehensive or holistic is particularly important at the stage of policy of development and of setting programme priorities, while implementation is often best done along conventioanl sectoral lines to take advantage of proven institutional capacities.

3. Support subprogrammes

34. The following subprogrammes exemplify those that could be supported both nationally and internationally as the means to implement a wide range of human settlements programmes more effectively.

Support Subprogramme 1: Theory, methods, and technology

35. Goal: to develop, test, and disseminate practical concepts and tools with which to gain better understanding and manage human settlements in the twenty-first Century.

36. Discussion: Because professional urbanists and planners have been marginalized in the urban development process, there is a need to revisit the theories that underlie professional contributions to the formulation and implementation of integrated development policy. Academic theory and professional skills must be mutually aligned to recognise and account for the social, economic, and political determinants of development in an urbanizing world. There is need to reassess the multiple natures of the urban political economy and human ecology and to restructure theory and knowledge into a useful discipline.

37. Among activities which this suggests are: (a) analysis of human settlements indicators and statistics; (b) modelling of human settlements development; (c) restructuring of the disciplines of human ecology and settlements science; (d) research on and development of appropriate technologies; (e) capacity building among training and academic institutions; (f) involvement of the private sector in the development of settlement science; (g) and raising awareness among public officials and the public with regard to issues and possible answers.

Support Subprogramme 2: International cooperation

38. Goal: to share resources and skills across national boundaries in implementing the global plan of action for attaining universal human settlements goals.

39. Discussion: This is a class of international activities that recognises the need for demand driven approaches to technical assistance and technical cooperation. As such, an essential activity would be the development and application of technical cooperation effectiveness indicators. Other components of the subprogramme might include: (a) reorganisation of international cooperative assistance institutions and strengthening of their demand responsiveness; (b) strengthening of institutions for international technology transfer; (c) development of effective interactive communication systems between and among countries and donors; (d) analysis and promotion of best practices in human settlements development; (e) negotiation of international cooperative agreements and financial commitments.

III. CONCLUSIONS

40. The proposed format for the Global Plan of Action is founded upon two concepts: (a) the holisitc approach to human settlements development; and (b) the feedback and control approach to programme design and implementation. The former addresses substance, the latter process. These approaches have evolved from a vast body of recent experience in human settlements management and technical cooperation and are presented as being representative of the best current thinking on realising a positive vision of human settlements.

41. In directing the Secretariat to continue with the detailed development of the Global Plan of Action, the Preparatory Committee may wish to endorse these two foundational elements and then to provide directives on timing and process for further elaboration during the coming year. It is intended that national preparatory processes and participation by NGOs, representatives of the private sector, city administrators, community leaders, and others, will play a major role in the elaboration of this plan.

42. It is proposed here that a detailed draft of the Global Plan of Action be presented for review and evaluation to the Preparatory Committee at its second substantive session in 1995.